

REQUEST FOR APPROVAL OF  
RECORDS RETENTION SCHEDULE

STD. 72 (REV. 3-84)

Submit three copies with three copies of  
the Records Retention Schedule, STD. 73.

|   |                          |
|---|--------------------------|
| DEPARTMENT, BOARD OR COMMISSION<br>California State World Trade Comm.   | BILLING CODE<br>10604    |
| DIVISION, BUREAU OR OTHER UNIT  |                          |
| ADDRESS<br>801 K Street, Ste. 1700, Sacto, CA 95814   |                          |
| SCHEDULE NUMBER<br>WTC-02   | PAGE NUMBER(S)<br>9      |
|   | SCHEDULE DATE<br>8/25/93 |
| IF THIS IS A REVISION OF AN EXISTING SCHEDULE (including addition or deletion of pages), enter the following information from the EXISTING schedule:<br>SCHEDULE NUMBER _____ PAGE NUMBER(S) _____ SCHEDULE DATE _____<br>APPROVAL NUMBER _____ APPROVAL DATE _____ |                          |

TO: (1) DEPARTMENT OF GENERAL SERVICES  
OFFICE OF RECORDS MANAGEMENT

(2) CHIEF, STATE ARCHIVES  
1020 O Street, Room 130  
Sacramento, CA 95814  
445-4293 or ATSS 485-4293

## PART I—AGENCY STATEMENTS

As the person directly responsible for maintenance of the records listed on the attached schedule, I certify that I have reviewed the need for the records and that each retention period is necessary and correct as scheduled.

|   |                 |         |
|---|-----------------|---------|
| SIGNATURE—PERSON DIRECTLY RESPONSIBLE FOR THE RECORDS | TITLE           | DATE    |
| <i>Debbie H. Kuntz</i>                                | Admin. Asst. II | 8/25/93 |

In accordance with Government Code 14735, approval of the attached Records Retention Schedule by the Department of General Services is hereby requested. Retention periods have been established by this agency after a careful evaluation of all the factors listed in Section 1667 of the State Administration Manual.

I hereby certify that I am authorized to act for the head of this agency in matters pertaining to the retention and disposal of records. (Per Section 1611 of the State Administrative Manual.)

|   |                                   |                           |           |
|---|-----------------------------------|---------------------------|-----------|
| SIGNATURE—RECORDS MANAGEMENT COORDINATOR  | TITLE                             | DATE                      | TELEPHONE |
| <i>Al Hagemer</i>   | Executive Director                | 8/25/93                   | 324-5511  |
| PART II—DEPARTMENT OF GENERAL SERVICES APPROVAL (Per Government Code Section 14735)   |                                   |                           |           |
| The Department of General Services has no jurisdiction over entries made in Column 14 of STD. Form 73. Our approval covers Column 1-13 and 15 only. |                                   |                           |           |
| SIGNATURE   | LOU LOERA                         | APPROVAL NUMBER<br>93-220 |           |
| TITLE   | Information Management Consultant | DATE                      | 10/13/83  |
| PART III—ARCHIVAL SELECTION (Per Government Code Section 14735)   |                                   |                           |           |

THE ATTACHED RECORDS RETENTION SCHEDULE:

CALIFORNIA  
STATE ARCHIVES

☐ Contains no material subject to further review by the California State Archives.

☒ Contains material subject to archival review. Items stamped "Hold/Notify Archives" may not be destroyed without clearance by the Secretary of State. (State Administrative Manual Section 1614)

|                             |      |
|-----------------------------|------|
| SIGNATURE—CHIEF OF ARCHIVES | DATE |
| <i>John F. Burns</i>        |      |

## RECORDS DISPOSITION SCHEDULE

Date: August 25, 1993

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Department: California State World Trade Commission  
801 K Street, Suite 1700  
Sacramento, CA 95814

Schedule No.: WTC-02

DGS Approval No.: \_\_\_\_\_

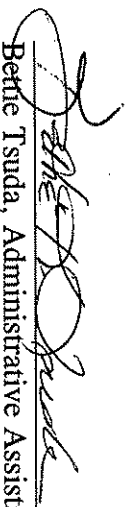
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Established in January 1983 by AB 3757 (Chapter 1526) and recreated in January 1987 by AB 2685 (Chapter 1387), the California State World Trade Commission, consisting of 15 members and an advisory council, serves as the official representative of the State of California to foreign governments and representatives. The Commission is the primary state agency responsible for the development and implementation of policies and programs that promote California exports, and its role reflects the state's commitment to international economic competitiveness.

SB 1909 (Chapter 1364, Statutes of 1992) consolidated the Commission and the California Department of Commerce into the California Trade and Commerce Agency. As part of this consolidation, the Governor's five overseas trade and investment offices were administratively moved to this Agency.

The following have reviewed this schedule and agree it accurately describes the records and associated policies for the California State World Trade Commission prior to and subsequent to its consolidation within the California Trade and Commerce Agency.

  
\_\_\_\_\_  
Gregory Mignard, Executive Director

  
\_\_\_\_\_  
Bettie Tsuda, Administrative Assistant

## RECORDS RETENTION SCHEDULE

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DEPARTMENT (1)  
California State World Trade CommissionORGANIZATIONAL UNIT  
Executive & AdministrationADDRESS (Number Street City)  
801 K Street, Suite 1700 Sacramento, CA 95814SCHEDULE NUMBER (2)  
WTC-02DATE (3)  
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DEPARTMENT OF GENERAL SERVICES APPROVAL NUMBER (5)

| ITEM<br>NUMBER<br>(6) | CUBIC<br>FEET*<br>(7) | CALIFORNIA<br>STATE<br>ARCHIVES<br>USE ONLY<br>(8) | TITLE AND DESCRIPTION OF RECORDS<br>(Triple space between items)<br>(9)   | M<br>E<br>D<br>I<br>A<br>(10) | V<br>I<br>T<br>A<br>L<br>(11) | RETENTION      |               |             |               | PRA<br>(Exempt)<br>&<br>IPA<br>(16) | REMARKS<br>(17)   |
|-----------------------|-----------------------|--|---|-------------------------------|-------------------------------|----------------|---------------|-------------|---------------|-------------------------------------|---|
|                       |                       |  |   |                               |                               | OFFICE<br>(12) | DEPT.<br>(13) | SRC<br>(14) | TOTAL<br>(15) |                                     |   |
| 1                     | 4                     | Ready / Ready Archives                             | COMMISSION MEETINGS - Original paper documents used for Commission meetings, including agenda/meeting notice, issue summaries, testimony, back-up materials, and meeting minutes.   | P                             | M                             | Perm.          |               | 0           | Perm.         |                                     | PERMANENT - Files of all Commission meetings (since 1982) currently on file. Because referral back to prior meetings is frequent, no plans are being considered to store or destroy any records.<br><br>RETENTION CRITERION: Decision by Executive Director   |
| 2                     | 2                     | Ready / Ready Archives                             | ADVISORY COUNCIL MEETINGS - Original paper documents used for Advisory Council meetings, including agenda/meeting notice, issue summaries, testimony, back-up materials, and meeting minutes.   | P                             |                               | 5              |               | 0           | 5             |                                     | READY FOR TRANSFER TO RECORDS CENTER - Files of all Advisory Council meetings (since 1982) currently on file. There has been no active Advisory Council since 1987; therefore, files may be transferred to State Records Center for retention or disposal.<br><br>RETENTION CRITERION: Decision by Executive Director and Chief of Archives   |
| 3                     | 5                     | Ready / Ready Archives                             | GENERAL FILES - Includes acknowledgment correspondence, requests for information, resource literature, trade associations membership lists and information, and reference materials. State dept. corresp.: General Services releases, prices indices, maintenance contracts notification, etc. that are disseminated to all state agencies. | P                             |                               | Active + 1     |               | 0           | Active + 1    |                                     | Information in these files do not relate to Commission policy-making decisions. Membership lists are kept current (upon receipt of a new list, the old one is recycled). Reference materials are dated and are usually of no value after two years. Files are considered "Active" until replaced with an updated version or after two years.<br><br>RETENTION CRITERION: Decision by Executive Director<br><br>DESTRUCTION CRITERION: Non-confidential wastepaper - recycle.  |
| 4                     | 7                     | Ready / Ready Archives                             | TRADE POLICY FILES - Includes export and import issue papers, trade data, trade policy issue papers, investment and taxation documents, reference materials related to trade policy, state and national trade policy documents and reports.   | P                             |                               | 5              |               | 2           | 7             |                                     | Trade policy issues are tied to incumbent administrations, both state and federal, as well as any ongoing multilateral trade negotiations which may be occurring. Trade policy issues dating back to 1983 are currently in file. Recommend retaining files on current trade policy issues and transfer all other files to State Records Center for retention and disposal. Recommend published reference materials such as newsletters, communiques, bulletins, magazine articles, newspaper articles, which are available in various libraries, be disposed (recycled) rather than stored in State Records Center.<br><br>RETENTION/DESTRUCTION CRITERION: Decision by Executive Director and Chief of Archives<br><br>DESTRUCTION CRITERION: Non-confidential wastepaper - recycle. |

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|-----------------------|-----------------------|--|--|-------------------------------|-------------------------------|--|---------------|-------------|----------------|------------------------------------|--|
|                       |                       |  |  |                               |                               | OFFICE<br>(12)                                 | DEPT.<br>(13) | SRC<br>(14) | TOTAL<br>(15)  |                                    |  |
| 5                     | 10                    | Mid / West<br>Archives                             | <b>AGRICULTURAL TRADE FILES</b> - Includes agricultural trade policy files, individual commodity files, agribusiness seminars original paper documents, agricultural trade organizations, annual reports to the State Legislature*, reference materials related to agricultural trade policy.<br><br>*These reports should probably be retained permanently in State Archives as they were legislatively mandated. | P<br>M                        |                               | 5  |               | 2           | 7              | Perm.                              | Agricultural trade policy issues are tied to incumbent administrations, both state and federal, as well as any ongoing multilateral trade negotiations which may be occurring. Agricultural trade policy issues dating back to 1983 are currently in file. Recommend retaining files on current trade policy issues and transfer all other files to State Records Center for retention and disposal. Recommend published reference materials such as newsletters, bulletins, magazine articles, newspaper articles, which are available in various libraries, be disposed (recycled) rather than stored in State Records Center.<br><br>RETENTION/DESTRUCTION CRITERION: Decision by Executive Director and Chief of Archives<br><br>DESTRUCTION CRITERION: Non-confidential wastepaper - recycle. |
| 6                     | 10                    | Mid / West<br>Archives                             | <b>COUNTRIES FILES</b> - Contains reference and statistical materials on various countries relative to trade, investment, demography, business climate; consulate newsletters; trade policy news releases.   | P                             |                               | Active   |               | 0           | Active         |                                    | All materials are published documents available in various libraries and are utilized as reference for responding to inquiries. Recommend statistical and country-specific data be retained until updated, then recycle old data. Retain newsletters/releases for one year, then recycle rather than store in State Records Center.<br><br>RETENTION/DESTRUCTION CRITERION: Decision by Executive Director<br><br>DESTRUCTION CRITERION: Non-confidential wastepaper - recycle.  |
| 7                     | 3                     | Mid / West<br>Archives                             | <b>TRADE MEDIA FILES</b> - Includes press releases, magazine articles, newsletter materials, and media correspondence (all prepared by Commission staff).  | P<br>D                        |                               | 3<br><br>Perm.<br>for art-<br>work &<br>photos |               | 2<br><br>0  | 5<br><br>Perm. |                                    | These files contain date-sensitive materials. Press releases and media articles prepared by the Commission relate to current issues and/or actions of the Commission and can be purged periodically. The Commission Newsletter original artwork and photographs will be retained permanently for accessibility.<br><br>RETENTION/DESTRUCTION CRITERION: Decision by Executive Director and Chief of Archives<br><br>DESTRUCTION CRITERION: Non-confidential wastepaper - recycle.  |
| 8                     | 3                     | Mid / West<br>Archives                             | <b>TRADE LEGISLATION FILES</b> - Includes state legislative bills (Assembly and Senate), correspondence related to legislation, legislative updates.   | P                             |                               | 5  |               | 2           | 7              |                                    | With the consolidation of the Commission within the Trade and Commerce Agency, keep only past two years of files and send all prior year files to State Records Center for retention and disposal. Future legislative files will be maintained by the Agency's legislative unit.<br><br>RETENTION/DESTRUCTION CRITERION: Decision by Executive Director  |

\*Provide total of office and departmental

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|                       |                       |  |  |                               |                               | OFFICE<br>(12) | DEPT.<br>(13) | SRC<br>(14) | TOTAL<br>(15) |                                     |   |
| 9                     | 3                     |  | EMPLOYMENT APPLICATION FILES - Includes solicited and unsolicited job applications and responding correspondence.  | P                             |                               | 2              |               | 1           | 3             | IX                                  | <p><b>1798.34</b><sup>(17)</sup></p> <p>G.C. 6254(c); IPA <del>1789.34</del>. Keep unsolicited job applications for one year, then destroy through confidential destruction via State Records Center. Retain solicited applications for two years after position has been filled, then retain at State Records Center for one year, then destroy via confidential destruction via SRC. Executive Director has discretion on keeping certain applications longer than stated above. With consolidation of the Commission within the Trade and Commerce Agency, future files will be maintained by the Agency's Personnel Office.</p> <p>RETENTION/DESTRUCTION CRITERION: Decision by Executive Director</p> <p>DESTRUCTION CRITERION: Confidential</p> |
| 10                    | 3                     |  | PERSONNEL FILES - Includes current employees, Commissioners, and Export Finance Board members, separated employees, ex-members. All documents in the Commission employee files (absence requests and travel expense claims) are duplicates of records kept in the Accounting and Personnel official files. Resumes, bio sheets, and emergency information are considered confidential information. | P                             |                               | Active<br>+ 3  |               | 0           | Active<br>+ 3 | IX                                  | <p>G.C. 6254(c); IPA 1789.34. Retain employee files for two years after termination of employment, then coordinate with Personnel and Accounting offices on destruction of files. Retain appointed officials files for two years after expiration of term, then coordinate with Personnel and Accounting offices on destruction of files. With the consolidation of the Commission within the Trade and Commerce Agency, employee files will be maintained by the Agency's Personnel Office.</p> <p>RETENTION/DESTRUCTION CRITERION: Decision by Executive Director</p> <p>DESTRUCTION CRITERION: Confidential for personnel documents; non-confidential disposal (recycle) of travel expense claims.</p>   |
| 11                    | 4                     |  | CONTRACT FILES - Includes all contract and interagency agreements entered into by the Commission and any preliminary requests for proposal, actual proposals, and follow-up documentation.   | P                             |                               | 5              |               | 2           | 7             | IX                                  | <p>With the consolidation of the Commission within the Trade and Commerce Agency, all contracting functions have been assumed by the Agency's Contracts, Grants, and Loans Office. Recommend keeping last three years of Commission contracts for audit purposes and forward rest to State Records Center for Retention and disposal. Recommend disposing of pre-1990 Requests for Proposals received for various projects.</p> <p><b>GC 6254(c) IPA 1798.34</b></p> <p>RETENTION/DESTRUCTION CRITERION: Decision by Executive Director</p> <p>DESTRUCTION CRITERION: Confidential</p>  |

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|-----------------------|-----------------------|--|---|-------------------------------|-------------------------------|-------------------|---------------|-------------|---------------|-------------------------------------|--|
|                       |                       |  |   |                               |                               | OFFICE<br>(12)    | DEPT.<br>(13) | SRC<br>(14) | TOTAL<br>(15) |                                     |  |
| 12                    | 24                    |  | <b>ACCOUNTING FILES</b> - Duplicates of all invoices, travel expense claims, petty cash disbursements, purchase orders, daily cash collection reports, deposit reports, etc. approved by the Executive Director. Although approval of invoices, etc. are done in-house, the actual transactions were handled by the Secretary of State's Fiscal Office from 1983 to 1992 and by DGS Contract Fiscal Services from 1992 to January 1993. Secretary of State's Fiscal Office transferred accounting files to State Records Center under their retention schedule through FY 1988. Sixteen archive boxes of official accounting files were transferred from Secretary of State and DGS fiscal offices to the Commission upon consolidation within the Trade and Commerce Agency. | P                             |                               | 3                 |               | 2           | 5             |                                     | With the consolidation of the Commission within the Trade and Commerce Agency, accounting functions will be handled by the Agency's Fiscal Office. The official accounting records transferred to the Commission from the Secretary of State and DGS fiscal offices will need to be retained by State Records Center for audit purposes. Those duplicate files kept by the Commission do not need Records Center retention since they are duplicates of the official files. Those duplicate files can be purged.<br><br>RETENTION/DESTRUCTION CRITERION: Decision by Executive Director<br><br>DESTRUCTION CRITERION: For invoice copies, non-confidential wastepaper - recycle. |
| 13                    | 2                     |  | <b>BUDGET FILES</b> - Includes Budget Change Proposals, Program Objective Statements, Department of Finance correspondence, Controller's Office correspondence, non-profit organization statements.   | P<br>M                        |                               | Active<br>+ 3     |               | 2           | Active<br>+ 5 |                                     | With the consolidation of the Commission within the Trade and Commerce Agency, budgeting functions will be handled by the Agency's Budget Office. The existing Commission budget records will be provided to the Agency Budget Office for review prior to transmittal to State Records Center for retention and disposal. Files will remain "Active" until Agency budget staff has reviewed and determined that files are inactive.<br><br>RETENTION/DESTRUCTION CRITERION: Decision by Executive Director   |
| <del>14</del>         | 5                     | <del>2002/2003<br/>Records</del>                   | <b>OVERSEAS OFFICES FILES</b> - Includes program and operations files on the five overseas offices which were transferred from the Governor's Office to the Trade and Commerce Agency with the enactment of SB 1909. Files include program goals and objectives, directors reports, correspondence, Governor's briefing materials, country-specific trade and investment information, and operations and oversight documents.   | P                             |                               | Active<br>+ 3     |               | 2           | Active<br>+ 5 |                                     | With the consolidation of the Commission within the Trade and Commerce Agency, these files were transferred from the Governor's Office when the overseas offices operations were given to the Agency. The files will be retained until the Executive Director is familiar enough with the program to determine appropriate transfer of records to the State Records Center. Files will remain "Active" until Executive Director has reviewed and determined that files are inactive.<br><br>RETENTION/DESTRUCTION CRITERION: Decision by Executive Director  |
| 15                    | 0                     |  | <b>NONRECORDS</b> - Personal working papers.  | P                             |                               | Empl.<br>discret. |               | 0           | 0             |                                     | Personal working papers and duplicate copies of records held by employees are NONRECORDS and may be destroyed at the discretion of the employee or when the position is vacated. No filing equipment will be allotted for storage. Personal working papers will not be stored in the State Records Center.   |

\*Provide total of office and departmental